



DEPARTMENT OF THE NAVY

ATLANTIC DIVISION
NAVAL FACILITIES ENGINEERING COMMAND
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IN REPLY REFER TO:

Code CI51BN
11 OCT 2001

MEMORANDUM

From: Head, Component Support and Budget Branch, Atlantic Division, Naval Facilities Engineering Command
Director, A&E & Construction Contracts Division, Atlantic Division, Naval Facilities Engineering Command

To: Distribution

Subj: CONSTRUCTION ASSISTANCE VISITS (CAV)/PERFORMANCE MEASUREMENT ASSISTANCE PROGRAM (PMAP)

Ref: (a) Naval Facilities Engineering Command (NAVFACENGCOM) P-445, "Construction Quality Management Program"

Encl: (1) Three year CAV/PMAP schedule
(2) CAV Implementation Guidance
(3) PMAP Instruction
(4) Team Member Assignment Sheet

1. NAVFACENGCOM issued a revised P-445, reference (a), in June 2000 to all Engineering Field Division/Activities (EFD/As) for implementation and action. Included in Appendix (Q) of the P-445 is a requirement that CAV be conducted periodically at all field offices. A precursor to the CAV was the Field Office Assist Visit (FOAV) program. FOAVs were established by LANTDIV's policy letter and required every two years. FOAVs are, by copy of this letter, disestablished and replaced with the CAV system in the P-445. The PMAP has been a requirement of the NAVFACENGCOM P-68 for over seven years. The P-445 requires a CAV be conducted either: a) every two years at each field office; b) in conjunction with the PMAP; or c) as directed by the Head of the Construction Division.

2. LANTDIV Codes AQ and CI5 will jointly conduct PMAPs and CAVs. Simultaneous PMAP and CAV visits will provide the best vehicle for an overall procurement and management health snapshot of each office by the assistance visit teams. PMAPs are conducted every three years; therefore, the CAV schedule will mirror the already established 3-year PMAP schedule included as enclosure (1).

3. LANTDIV AQ provides lead or augment responsibility for PMAP for all components. However, the P-445 requires each EFD/EFA Field Team Advocate and/or the Quality Assurance Engineer to lead each CAV team. Each EFD/EFA Field Team Advocate is required to provide both a team leader and other team members for each CAV scheduled. Additionally, the P-445 allows the senior military or civilian engineer from the next field office to be visited to be present at the CAV. It is highly recommended that each component consider the next office

Quality Performance ... Quality Results

senior military or civilian engineer be a part of the teams established. Enclosure (2) is a copy of LANTDIV's program guidance on conducting a CAV. Enclosure (3) is a copy of the PMAP Instruction. Enclosure (4) is a copy of the Team Member Assignment Sheet and applicable instructions and policies for field office activities.

4. Please provide a list of your CAV team leaders and team members for all of the CAV/PMAPs scheduled in enclosure (1) to Ms. Brenda Norton, P.E., CI51BN no later than 19 October 2001.



S. KRANES



J. P. McLAREN, JR., P.E.

DISTRIBUTION:

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3 YEAR PMAP SCHEDULE

ACTIVITY	FY02	LEADER/MEMBERS A = AUGMENTEE	FY 03	LEADER/MEMBERS A=AUGMENTEE	FY 04	LEADER/MEMBERS A = AUGMENTEE
ROICC JACKSONVILLE	2001/11/19 2001/11/23					
ROICC SEWELLS POINT	2001/12/03 2001/12/07					
ROICC GTMO	2002/01/24 2002/01/28					
ROTA	2002/02/00	AUGMENTING				
QUANTICO	2002/02/04 2002/02/08	AUGMENTING				
ROICC NNSY	2002/02/05 2002/02/09					
ROICC AZORES	2002/03/11 2002/03/15					

3 YEAR PMAP SCHEDULE

ACTIVITY	FY02	LEADER/MEMBERS A = AUGMENTEE	FY 03	LEADER/MEMBERS A=AUGMENTEE	FY 04	LEADER/MEMBERS A = AUGMENTEE
NAVAL DISTRICT WASHINGTON (NDW)	2002/05/13 2002/05/17	AUGMENTING				
SOUTHERN ITALY	2002/06/00 TBD	AUGMENTING				
LAKEHURST/EARLE	2002/06/00 TBD	LEADING				
ROICC NEW LONDON	2002/06/00 TBD	LEADING				
BETHESDA	2002/11/21 2002/11/25	AUGMENTING				
WINTER HARBOR			2002/10/00 TBD	LEADING		
EFA MED			2002/10/07 2002/10/11			

3 YEAR PMAP SCHEDULE

ACTIVITY	FY02	LEADER/MEMBERS A = AUGMENTEE	FY 03	LEADER/MEMBERS A=AUGMENTEE	FY 04	LEADER/MEMBERS A = AUGMENTEE
WILLOW GROVE			2002/11/00 TBD	LEADING		
ROICC BRUNSWICK MAINE			2002/11/00 TBD			
ROICC PENINSULA			2002/11/05 2002/11/09			
ROICC LITTLE CREEK			2002/11/19 2002/11/23			
EFA NORTHEAST			2002/11/28 2002/12/01			
ROICC OCEANA			2002/12/03 2002/12/07			
ROICC ICELAND			2003/04/09 2003/04/13			
SIGONELLA			TBD	AUGMENTING		

3 YEAR PMAP SCHEDULE

ACTIVITY	FY02	LEADER/MEMBERS A = AUGMENTEE	FY 03	LEADER/MEMBERS A=AUGMENTEE	FY 04	LEADER/MEMBERS A = AUGMENTEE
ROICC WINTER HARBR					2002/10/00 TBD	
EFA CHESDIV					2003/10/00	
CHERRY POINT					2003/11/00	
PAX RIVER					2004/00/00 TBD	AUGMENTING
OIC MECHANICSBG					2004/00/00 TBD	
OIC PORTSMOUTH (NEW HAMPSHIRE)					2004/00/00 TBD	

3 YEAR PMAP SCHEDULE

ACTIVITY	FY02	LEADER/MEMBERS A = AUGMENTEE	FY 03	LEADER/MEMBERS A=AUGMENTEE	FY 04	LEADER/MEMBERS A = AUGMENTEE
ROICC NEWPORT/NUWC					2004/00/00 TBD	
ROICC PUERTO RICO SEBANA SECA					2004/01/00	

CAV (Construction Assistance Visits) Program



ATLANTIC DIVISION
CODE CI5

"Providing World-Class Field Support"

OCTOBER 2001

INTRODUCTION

By any objective measure, the amount of significant, often traumatic, change in organizations has grown tremendously. The rate of change is not going to slow down anytime soon. If anything, change and competition in our business will probably speed up even more. These powerful forces will and are pushing us to reduce costs and improve the quality of our products and services. As such, we must identify innovative ways of doing business and share the best construction management practices throughout the organization. We must do this if we expect to survive and improve our competitive standing with other federal design and construction organizations.

The Construction Assistance Visits or CAVs is one vehicle we can use to identify and share innovative approaches to construction administration with other field offices. Also, the CAV will provide immediate feedback on post-award field office operations so we can improve our effectiveness in delivering high quality facilities "on time and within budget" to our customers.

The CAV Focus Areas are:

- **Office Management and Controls**
- **Payment to Contractors**
- **Effectiveness of QA Staff (Construction Representatives)**
- **Safety and CQC Enforcement**
- **Effectiveness of in-house Training Programs**
- **Project Close-Out (includes OMSI management) and Warranty Enforcement**
- **Constructability Review Process**
- **TABS/ACATS Management and Enforcement**
- **Modification Management**
- **Office Staffing**
- **ADP Support and Other Office Equipment**
- **Common Business Practices**
- **Design/Construction Support Issues**

PROGRAM ACTION OFFICER

The CAV Program is managed by Mr. John P. McLaren, P.E., Code CI51. If you have questions John can be reached at (757)-322-8435 (DSN 262-8435) or mclarenjp@efdlant.navfac.navy.mil.

PROGRAM OBJECTIVES

A CAV will be conducted every 3 years in conjunction with the PMAP run by the Acquisition Department. A senior Code CI5 civilian who has been a Supervisory AREICC or SGE, supported by a Supervisory Construction Representative, and assisted by one or two team members from other field offices will lead the CAV team. Fifteen days prior to the CAV, the ROICC will send Code CI51 the pre-visit information shown on **enclosure (1)**. At the start of the CAV, the ROICC will brief the team on workload, staffing, and other areas that should be evaluated and considered. The team will use checklists, **enclosure (2)**, as guides for evaluating the different Focus Areas. At the conclusion of the CAV, the Team will brief the ROICC where key measures indicate possible areas ripe for reengineering efforts and highlight commendable processes, which may be exportable to other field offices. While a written report will be provided **(enclosure (3))**, no rating will be assigned. The purpose of the CAV is to observe post-award systems in operation and to share unique ideas/solutions to meet the dynamic needs of our customers.

ENCL (1) - PRE-VISIT INFORMATION

Each ROICC will send the following information to Code CI51 NLT 15 days before the Construction Assistance Visit:

- Current Organization Chart and List of Office Points of Contact for each Focus Area
- Current Change Order, UDC and Warranty Logs
- List of all Active Construction Contracts (0-90% complete) highlighting projects with CQC and TABS/ACATS provisions and OMSI packages.
- Areas of Construction Management Excellence that You Want the Team to Look At during the Visit
- Areas of Concern That You Want the Team to Specifically Review.
- Location of the In-Brief
- List of approved CQC Reps and the dates (Mo/Yr) that they attended the COE's Construction Quality Management for Contractors Course
- Do you have any contracts that were accepted for beneficial occupancy six months ago (or longer) that still haven't been closed-out? If yes, then provide a statement explaining why the contract(s) hasn't been closed out and a POA&M to get final release.
- The ROICC's pre-visit assessment of this office (Attachment A).

The ROICC will also make sure:

- An area is set-up in the office for the Team to operate and do administrative duties. This should include an area with at least one computer and telephone.
- Construction Representatives are available to escort team members around job sites.
- Make arrangements for the Team to observe a CQC meeting.

ENCLOSURE (1) ATTACHMENT (a) - ROICC PRE-VISIT ASSESSMENT

How to Fill out this form:

Take a few minutes to review the focus areas and provide your assessment of each area. Your assessment will be compared with the actual assessment provided at the end of the visit. This comparison will allow you to see if your assessment is the same or different from what is actually taking place.



Health Assessment Codes

- Green - Area of Excellence
- Yellow - Focus Area Working Well
- Red - Major Shortfall. Immediate Attention Needed

<u>Focus Area</u>	Health Assessment (Check One)			
	Green	Yellow	Red	N/A
Office Management and Controls				
Payment to Contractors				
Effectiveness of QA Staff				
Safety and QC Enforcement				
Effectiveness of In-House Training Programs				
Project Close-out and Warranty Enforcement				
Constructability Review Process				
TABS/ACATS Management and Enforcement				
Modification Management				
Office Staffing				
ADP Support and Other Office Equipment				
Common Business Practices				
Design/Construction Support Issues				

ENCL (2) - CAV CHECKLIST

Office Management and Controls

1. Does ROICC and SGE conduct project status reviews with the ARO(E)ICs at least on a monthly basis?
2. Is there a management information system in-place to track:
 - Design Review Time
 - Change Order Processing Time
 - Cost Growth Due to Change Orders
 - Action Correspondence
 - TABS/ACATS Submittals and Deficiencies noted during TABS QA verification inspections.
3. Does the office have a systematic and routine way to give and receive performance feedback from customers? For example: project tours, briefings, reports, etc.

Payment to Contractors

1. Does the office have a published payment and retention policy? If so, is it being followed? What are the average times for processing invoices?
2. Are Construction Representatives making sure material and labor on the invoices are correct and that only approved materials are being considered for payment?

Effectiveness of QA Staff (Construction Representatives)

1. Do all the Con Reps have the minimum QA training specified in P-68?
2. Does the ROICC have a multi-disciplined QA staff i.e. general, electrical and mechanical con reps? If not, then how are these shortfalls being covered?
3. Is there an office policy for processing DRIs and CRRs?
4. Are DRIs/CRRs accurate, complete and document daily site conditions?
5. Is the office getting maximum use out CASU inspectors, Title II Services, CQC program and QAP visit by the designers of record?

ENCL (2) - CAV CHECKLIST

Safety and QC Enforcement

1. Team will evaluate the office's construction safety program using Attachment (a) and (b).
2. Team will visit at least one project with CQC provisions and evaluate the CQC staff using Attachment (c).
3. Is the CQC program being support by the ROICC, SGE and Supervisory Construction Representative?
4. Have all the CQC Reps attend the COE's Construction Quality Management for Contractors Course?

Effectiveness of In-House Training Programs

1. Does the office have an in-house training program for its military/civilian AROICCs and Con Reps?
If so, are accurate training records being kept. If not, then why doesn't the office have an in-house training program?

Project Closeout and Warranty Enforcement

1. Project closeout
 - A. Does the office have a current written policy for closing out contracts in a standard fashion?
 - B. Are projects being closed-out per LANTNAVFACENGCOM INST 4340.4.
 - C. Is there a system to ensure all required items have been received/completed prior to certification of the final payment: (See attachment (d) for a suggested listing of normally required items.)
 - D. Have completed contracts been updated in the R-26 report and have they been shifted to section II on the R-26 within six months of BOD.
2. Is Public Works satisfied with the way the ROICC is turning over facilities?
3. Warranty related issues.
 - A. Does the office have a policy on handling Warranty related issues.
 - B. Is Public Works satisfied with the ROICC performance on warranty issues?

ENCL (2) - CAV CHECKLIST

Constructability Review Process

1. Does the office have a written policy and checklist for doing design reviews? (**Get a copy of design review checklist**)
2. Are realistic construction performance periods being established and included with the design comments?
3. Are in-house designers and A&Es addressing and incorporating into the final design documents the ROICC's design review comments? Are the annotated ROICC design review comments included with the final design documents?

TABS/ACATS Management and Enforcement

1. Does senior leadership within the office support the TABS/ACATS program?
2. Do ARO(E)ICCs and Con Reps have a good working knowledge of the TABS/ACATS process and are conscientiously enforcing specified provisions?
3. How many contracts are being accepted for beneficial occupancy without TABS/ACATS being finished?
4. What are some ideas for improving the process?

Modification Management

1. Team will look at 3-4 contracts to make sure modifications of contract are being processed IAW LANTNAVFACENGCOMINST 4330.18. Specifically looking at funding flow to make sure enough systems are in-place to prevent the ROICC from having to do ratification of unauthorized commitments.
2. Are COAR Authority and AROICC/AREICC Appointment letters on file?
3. Are Change Order and UDC Logs being maintained?

Office Staffing

1. Is office staffed to a level that allows them to carryout their workload? If not, what are the staffing shortfalls?

ENCL (2) - CAV CHECKLIST

ADP Support and Other Office Equipment

1. Does the office have adequate ADP hardware and software?
2. How effective and timely is HQ's ADP support?
3. Does the office have enough vehicles?
4. What additional equipment is needed to perform your mission?

Common Business Practices

1. Is the office implementing the five-part meeting format as Common Business Practice Initiative? (Regular meetings with Contractor to discuss the Project Schedule (2 to 4 week look-ahead), QA/QC & Safety, RFIs, Submittals and Modifications).

Design/Construction Support Issues

1. Are there any areas where we are not providing prime time support?
2. What can we do better to support your office?
3. What LANTDIV requirements are detracting you from doing your mission?

ENCLOSURE (2) ATTACHMENT (a) - SAFETY Management Evaluation

Activity: _____

Date: _____

1. Pre-Construction Conferences:

- a. Documentation, which verifies that notice of scheduled conferences, has been given to the activity Safety Office.

Excellent _____ Good _____ Fair _____ Poor _____

- b. Documentation that verifies discussion of overall safety with emphasis on requirements related to that particular type of work.

Excellent _____ Good _____ Fair _____ Poor _____

- c. Documentation that verifies that the activity Safety Office has been made aware of contractor operations in the event of an accident.

Excellent _____ Good _____ Fair _____ Poor _____

2. Accident Prevention Plans: Documentation which verifies the following:

- a. That plans are submitted as required by EM 385-1-1 Appendix A.
- b. That plans are submitted, reviewed, and accepted prior to start of work by qualified ROICC employees who have attended LANTDIV or NAVFAC 40 HR Construction Safety Course.
- c. That meetings are held with contractors to discuss hazards and maintain control relative to their plan and the work involved.
- d. Demolition plans and Confined Space entry plans are reviewed and approved before beginning work.
- e. Activity Hazard Analysis is accepted prior to each work phase and reviewed during preparatory inspection phase.

Excellent _____ Good _____ Fair _____ Poor _____

ENCLOSURE (2) ATTACHMENT (a) - SAFETY Management Evaluation

3. Enforcement of Safety Provisions:

- a. Documentation of actions taken by ROICC to evaluate the effectiveness of the inspection force in implementation and enforcement of contract safety requirements, and actions taken to improve performance when applicable.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- b. Record of safety violations maintained by inspection force on all construction projects.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- c. Actions taken to stop work in imminent danger situations. Responsibilities to stop work are understood.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- d. Documentation of serious safety violations, including photographs.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- e. Follow-up procedure and documentation of actions taken to insure violations are corrected.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- f. Records of safety meetings held by contractors as required by U. S. Army Corps of Engineers Safety and Health Requirements Manual, EM 385-1-1.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- g. Contractor Interim and Final Evaluations are utilized to reflect safety performance.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- h. Documentation of ROICC safety actions on Daily Reports using most current Quality/production report form.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- i. Three Phases of Inspection used to organize safety planning on contracts.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

ENCLOSURE (2) ATTACHMENT (a) - SAFETY Management Evaluation

4. Accident Investigation and Reporting. Documentation which verifies the following:

- a. That contractor accident reports are received and forwarded to LANTNAVFACENGCOM (Code CI52) within 5 days.
- b. That serious accidents are investigated, notified, and reported by qualified mishap investigators who have attended 40 HR LANTDIV or NAVFAC Construction Safety Course.
- c. That nonserious and near miss accidents are investigated to determine causal factors.
- d. That quarterly man-hour and accident totals are forwarded to LANTDIV Code CI52 with CSIR-1 Forms attached.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

5. Training

- a. Records of safety-related training for the inspection force which the ROICC has conducted or has arranged for from other sources.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- b. Status on completion of two-part safety and health course based on the U. S. Army Corps of Engineers Safety and Health Requirements Manual, EM 385-1-1. (Completion within 45 Days of reporting)

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- c. Library of safety and health regulations, instructions, and publications.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

6. ASBESTOS/LEAD PROGRAM MANAGEMENT:

- a. Review of contractor plans by trained/certified personnel.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

- b. Review of plans and specifications prior to award for Asbestos Materials. (90 % Review)

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

ENCLOSURE (2) ATTACHMENT (a) - SAFETY Management Evaluation

7. RAC/HASP

- a. Review of Health and Safety plan is performed by LANT Code CI52 and forwarded to NEHC for comment before acceptance.
- b. Employees involved in RAC contracts are current in training requirements.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

8. RESPIRATORY PROTECTION PROGRAM:

- a. Records up to date and S.O.P. in effect.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

9. PERSONAL PROTECTIVE EQUIPMENT

- a. Training and use of equipment/audiograms performed or required/safety shoes, hardhats, and safety glasses used/inspected.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

10. CRANE PROGRAM

- a. Cranes arriving on sites are inspected by contractors utilizing EM 385 1-1 checklists.

Excellent _____ **Good** _____ **Fair** _____ **Poor** _____

COMMENTS:

ENCLOSURE (2) ATTACHMENT (b) ASSESSMENT WORKSHEET FOR CONTRACTOR SAFE SITE AWARDS

ROICC OFFICE: _____ **DATE:** _____
CONTRACTOR: _____
CONTRACT TITLE: _____ **CONTRACT % COMPLETE:** _____
CONTRACTOR SUPERINTENDENT: _____

CATEGORY:									Date Corrected:
PREPARATORY	(Yes)	(No)	(N/A)	1) Activity Hazard Analysis performed and used on the site for each major phase of the work?					
PHASE (Planning)	(Yes)	(No)	(N/A)	2) Are weekly safety meetings and indoctrination held on site and documented for all workers?					
Comments/Notes:	(Yes)	(No)	(N/A)	3) Is the submitted safety plan on site and in use?					
	(Yes)	(No)	(N/A)	4) Is the Activity Hazard Analysis reviewed during the preparatory inspection?					
	(Yes)	(No)	(N/A)	5) Hazardous materials program in place with MSDS sheets available and maintained for easy reference?					
	(Yes)	(No)	(N/A)	6) EM 385-1-1 available on the site?					
	(Yes)	(No)	(N/A)	7) Other? Extra Credit?					
OFFICE TRAILER	(Yes)	(No)	(N/A)	8) Are office and storage trailers anchored?					
GENERAL	(Yes)	(No)	(N/A)	9) Are emergency phone numbers posted?					
Comments/Notes:	(Yes)	(No)	(N/A)	10) Is a phone available?					
	(Yes)	(No)	(N/A)	11) First aid log maintained (contractors must use OSHA Form 200)?					
	(Yes)	(No)	(N/A)	12) Toilet facilities available?					
	(Yes)	(No)	(N/A)	13) Site posted "HARD HAT AREA," "NOISE HAZARD," "CONSTRUCTION AREA," etc., as required?					
	(Yes)	(No)	(N/A)	14) Garbage cans and dumpsters available?					
	(Yes)	(No)	(N/A)	15) Jobsite cleaned daily?					
	(Yes)	(No)	(N/A)	16) Is traffic control around site adequate?					
	(Yes)	(No)	(N/A)	17) Other? Extra Credit?					
FIRE PREVENTION	(Yes)	(No)	(N/A)	18) Are fire extinguishers available, fully charged, and easily visible within 75 feet for low hazard areas?					
Comments/Notes:	(Yes)	(No)	(N/A)	19) Is fuel stored in proper containers?					
	(Yes)	(No)	(N/A)	20) Are hot work permits being obtained?					
	(Yes)	(No)	(N/A)	21) Are fire watches provided?					
	(Yes)	(No)	(N/A)	22) Are gas cylinders stored upright and secured with chain or rope?					
	(Yes)	(No)	(N/A)	23) Other? Extra Credit?					
	(Yes)	(No)	(N/A)	24) Other? Extra Credit?					
SCAFFOLD	(Yes)	(No)	(N/A)	25) Are daily scaffold inspections performed by designated competent person?					
SAFETY	(Yes)	(No)	(N/A)	26) Planks overlapped not less than 6" or more than 12" over end supports with toe boards in place?					
Comments/Notes:	(Yes)	(No)	(N/A)	27) Tubing pinned properly and all cross bracing in place?					
	(Yes)	(No)	(N/A)	28) If scaffold height is 4X smallest base dimension, is system secured to structure?					
	(Yes)	(No)	(N/A)	29) All guardrails are in place?					
	(Yes)	(No)	(N/A)	30) Full work platform at each working level with no cracks/splits?					
	(Yes)	(No)	(N/A)	31) Safe access provided to each working level?					
	(Yes)	(No)	(N/A)	32) Scaffold and components not overloaded?					
	(Yes)	(No)	(N/A)	33) Is scaffold system plumb and level?					
	(Yes)	(No)	(N/A)	34) Suspended scaffold systems using independent personal fall arrest system?					
	(Yes)	(No)	(N/A)	35) Other? Extra Credit?					
FALL	(Yes)	(No)	(N/A)	36) Is a full body harness used where applicable?					
PROTECTION	(Yes)	(No)	(N/A)	37) Tied off at all times to structural element capable of supporting 5,000 lbs/person 100%?					
Comments/Notes:	(Yes)	(No)	(N/A)	38) Is protection provided for all working in an areas where they could fall 6' or more?					
	(Yes)	(No)	(N/A)	39) Are employees trained for fall protection systems in use?					
	(Yes)	(No)	(N/A)	40) Has the contractor designated a competent person for fall protection?					
	(Yes)	(No)	(N/A)	41) Have standard guardrails been provided where needed?					
	(Yes)	(No)	(N/A)	42) Have horizontal life lines been designed and installed under supervision of a qualified person?					
	(Yes)	(No)	(N/A)	43) Other? Extra Credit?					

ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)

CATEGORY:		Date Corrected:
<u>LADDER SAFETY</u>	(Yes) (No) (N/A) 44) Do ladders extend 3' above landing platform and tied to structure?	
Comments/Notes:	(Yes) (No) (N/A) 45) Are ladders used with hand tools only?	
	(Yes) (No) (N/A) 46) Are ladder base distances from structure 1/4 height?	
	(Yes) (No) (N/A) 47) Are floor openings either covered or surrounded by a guardrail?	
	(Yes) (No) (N/A) 48) Electricians not using portable or conductive ladders?	
	(Yes) (No) (N/A) 49) Stairways provided on all structures over 20' during construction and supplied with guardrail?	
	(Yes) (No) (N/A) 50) Portable step ladders over 20' not used on the site?	
	(Yes) (No) (N/A) 51) Are ladders properly used?	
	(Yes) (No) (N/A) 52) Other? Extra Credit?	
<u>EXCAVATIONS</u>	(Yes) (No) (N/A) 53) Over 4' deep must have a ladder within 25' and two means of egress?	
Comments/Notes:	(Yes) (No) (N/A) 54) Has proper slope or trench box/shoring been provided?	
	(Yes) (No) (N/A) 55) Is water controlled/removed?	
	(Yes) (No) (N/A) 56) Is excavated material at least 2' back from trench edge?	
	(Yes) (No) (N/A) 57) Barricaded, etc., to prevent workers and public from falling into trench/hole?	
	(Yes) (No) (N/A) 58) In locations of known or suspected contamination, is excavation atmosphere monitored?	
	(Yes) (No) (N/A) 59) Other? Extra Credit?	
	(Yes) (No) (N/A) 60) Other? Extra Credit?	
	<u>ELECTRICAL</u>	(Yes) (No) (N/A) 61) Are temporary power panel and receptacles protected from weather?
Comments/Notes:	(Yes) (No) (N/A) 62) GFI's in use for site tools - applies to existing outlets in renovation projects as well?	
	(Yes) (No) (N/A) 63) Temporary lights rigged and secured to supports properly with covers?	
	(Yes) (No) (N/A) 64) If overhead power lines in area, are operations maintaining 10' distance or isolation?	
	(Yes) (No) (N/A) 65) Is lockout/tagout program in effect?	
	(Yes) (No) (N/A) 66) Sketch of proposed temporary power distribution been submitted/accepted before installing?	
	(Yes) (No) (N/A) 67) Other? Extra Credit?	
	(Yes) (No) (N/A) 68) Other? Extra Credit?	
	<u>CRANES</u>	(Yes) (No) (N/A) 69) Has periodic inspection been performed prior to use on site IAW EM 385-1-1, App. H?
Comments/Notes:	(Yes) (No) (N/A) 70) Are App. H daily start up inspections performed by operator and submitted with DRI?	
	(Yes) (No) (N/A) 71) Is crane operator qualified IAW EM 385-1-1, App. G, and is crane certification posted in cab?	
	(Yes) (No) (N/A) 72) Are workers protected from the crane swing radius and prevented from passing under the load?	
	(Yes) (No) (N/A) 73) Are rigging cables and slings in good repair free of kinks and cracks?	
	(Yes) (No) (N/A) 74) Is the crane level and on firm ground and outriggers in use with appropriate cribbing?	
	(Yes) (No) (N/A) 75) Is crane side loading prohibited?	
	(Yes) (No) (N/A) 76) Near electric power sources, are rules followed for clearance/isolation in operating zone?	
	(Yes) (No) (N/A) 77) Is crane equipped with anti two-block device if required?	
	(Yes) (No) (N/A) 78) Other? Extra Credit?	
	<u>CONFINED SPACES</u>	(Yes) (No) (N/A) 79) Has entry plan been submitted and accepted?
Comments/Notes:	(Yes) (No) (N/A) 80) Is atmosphere being monitored?	
	(Yes) (No) (N/A) 81) Is space being ventilated?	
	(Yes) (No) (N/A) 82) Are entrants, attendants and entry supervisor properly trained?	
	(Yes) (No) (N/A) 83) Is rescue/retrieval system in place?	
	(Yes) (No) (N/A) 84) Are daily entry permits posted at point of entry and signed by entry supervisor?	
	(Yes) (No) (N/A) 85) Is point of entry posted "DANGER CONFINED SPACE"?	
	(Yes) (No) (N/A) 86) Has blanking or locking out of systems taken place?	
	(Yes) (No) (N/A) 87) Other? Extra Credit?	
<u>ROOFING</u>	(Yes) (No) (N/A) 88) Are kettles at least 25 feet away from buildings?	
Comments/Notes:	(Yes) (No) (N/A) 89) Has an employee fall protection system been implemented and in proper use?	
	(Yes) (No) (N/A) 90) Are skylights and roof penetrations covered or barricaded appropriately?	
	(Yes) (No) (N/A) 91) Has the roof been evaluated for its ability to support the intended construction loads?	
	(Yes) (No) (N/A) 92) Has the roof been surveyed for deterioration?	
	(Yes) (No) (N/A) 93) Are two fire extinguishers at the kettle?	
	(Yes) (No) (N/A) 94) Fuel cylinder a minimum of 10' from open flame?	
	(Yes) (No) (N/A) 95) Other? Extra Credit?	
	(Yes) (No) (N/A) 96) Other? Extra Credit?	

ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)

CATEGORY:		Date		Corrected:	
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EQUIPMENT

Comments/Notes:

(Yes) (No) (N/A) 97) Are forklift operators qualified through training at the site (certificate included in Safety Plan)?	
(Yes) (No) (N/A) 98) Mobile equipment equipped with rollover cages and backup alarms with moving parts adequately guarded?	
(Yes) (No) (N/A) 99) Are equipment operations maintaining safe clearance from electrical power lines?	
(Yes) (No) (N/A) 100) Modifications meet safety rating in accordance with manufacturer (i.e., lifting personnel with forklift)?	
(Yes) (No) (N/A) 101) Are safety lashings provided for high pressure hose connections, i.e., air compressors?	
(Yes) (No) (N/A) 102) Are workers clear of blind spots associated with mobile construction equipment?	
(Yes) (No) (N/A) 103) Do aerial lifts have basket/platform with guardrail?	
(Yes) (No) (N/A) 104) Workers not extending over guardrail of aerial lifts?	
(Yes) (No) (N/A) 105) Are articulating boom platforms (JLG type) used with Full Body Harness attached to boom or basket?	
(Yes) (No) (N/A) 106) Other? Extra Credit?	
(Yes) (No) (N/A) 107) Other? Extra Credit?	

DEMOLITION

Comments/Notes:

(Yes) (No) (N/A) 108) Has demolition plan been submitted and accepted?	
(Yes) (No) (N/A) 109) Waste not being dropped > 6' unless in an enclosed chute and area secured from traffic?	
(Yes) (No) (N/A) 110) Has an engineering survey been prepared for structural elements?	
(Yes) (No) (N/A) 111) Are removal operations from the top down?	
(Yes) (No) (N/A) 112) Are all floor and wall openings covered or guarded to prevent falls?	
(Yes) (No) (N/A) 113) For building demolition, has notification been made to State having jurisdiction?	
(Yes) (No) (N/A) 114) Are nails removed from scrap lumber/materials?	
(Yes) (No) (N/A) 115) Other? Extra Credit?	
(Yes) (No) (N/A) 116) Other? Extra Credit?	

PPE

Comments/Notes:

(Yes) (No) (N/A) 117) Workers wearing leather shoes (no tennis shoes), long pants and sleeve shirt?	
(Yes) (No) (N/A) 118) Hard hats being worn?	
(Yes) (No) (N/A) 119) Safety glasses where appropriate?	
(Yes) (No) (N/A) 120) Hearing protection where appropriate? (if you need to yell to converse)	
(Yes) (No) (N/A) 121) Respirators where appropriate?	
(Yes) (No) (N/A) 122) Impalement protection provided where personnel could work above vertical impalement?	
(Yes) (No) (N/A) 123) Is lighting adequate?	
(Yes) (No) (N/A) 124) Other? Extra Credit?	

ABATEMENT

Comments/Notes:

(Yes) (No) (N/A) 125) Has abatement plan been submitted and accepted?	
(Yes) (No) (N/A) 126) Is independent air monitoring being performed as required inside and outside barriers?	
(Yes) (No) (N/A) 127) Is containment in place without integrity compromise?	
(Yes) (No) (N/A) 128) Are employees utilizing appropriate PPE?	
(Yes) (No) (N/A) 129) If negative air is used, are fans used continuously and monitored for pressure differential?	
(Yes) (No) (N/A) 130) Has baseline been performed and necessary final clearance readings taken?	
(Yes) (No) (N/A) 131) Are inspections by independent PQP performed prior to barrier removal?	
(Yes) (No) (N/A) 132) Is waste material properly containerized and stored?	
(Yes) (No) (N/A) 133) Are air monitoring results provided to ROICC?	
(Yes) (No) (N/A) 134) Are waste shipment records provided to ROICC?	
(Yes) (No) (N/A) 135) Other? Extra Credit?	

WATERFRONT ACTIVITIES

Comments/Notes:

(Yes) (No) (N/A) 136) Are employees wearing appropriate flotation devices (PFDs)?	
(Yes) (No) (N/A) 137) Is a space rescue skiff available?	
(Yes) (No) (N/A) 138) Are emergency life rings available?	
(Yes) (No) (N/A) 139) If diving operations are taking place, has a dive plan been submitted and accepted?	
(Yes) (No) (N/A) 140) Does dive team consist of proper number and qualifications for employees?	
(Yes) (No) (N/A) 141) Other? Extra Credit?	

SCORING: Total applicable for each category = X (where X includes responses for category of "Yes" and "No" but does not include N/A)

Total with "Yes" responses for category = Y

SCORE FOR EACH CATEGORY:

SCORE RATE EQUATION = Y / X

1 PREPARATORY PHASE: _____	6 LADDER SAFETY: _____	11 ROOFING: _____
2 OFFICE TRAILER GENERAL: _____	7 EXCAVATIONS: _____	12 EQUIPMENT: _____
3 FIRE PREVENTION: _____	8 ELECTRICAL: _____	13 DEMOLITION: _____
4 SCAFFOLD SAFETY: _____	9 CRANES: _____	14 PPE: _____
5 FALL PROTECTION: _____	10 CONFINED SPACES: _____	15 ABATEMENT: _____

OVERALL RATING = LOWEST RATING FOR ANY CATEGORY: _____ WATERFRONT ACTIVITIES: _____

OVERALL COMPOSITE SCORE = (All "Yes" answers / All applicable answers = both yes and no answers) : _____

ENCLOSURE (2) ATTACHMENT (c)

ASSESSMENT WORKSHEET OF

CONTRACTOR QUALITY CONTROL PROGRAM

ROICC OFFICE: _____ DATE: _____
 CONTRACT TITLE: _____
 CONTRACTOR: _____ CONTRACT % COMPLETE: _____
 SUPERINTENDENT: _____ QC MANAGER: _____

CATEGORY	Checklist Items	Yes	No	N/A	Date Corrected
1. CONTRACT QC SPECIFICATION 01450	1. Is the approved QC Plan maintained at the job site?				
	2. Was the QC Plan presented in a 3-ring Binder w/ Tabs to each section?				
	3. If interim QC Plan was submitted, has the final QC Plan been submitted & approved?				
	4. Does the QC Manager have a CQM Certificate?				
2. QUALITY CONTROL ORGANIZATION	5. Is there a Chart showing the Contractor's QC organization structure?				
	6. Does chart show relationship of QC organization to other elements of the company?				
	7. Does it show the relationship to subcontractors, suppliers, outside organizations?				
	8. Is the QCM responsible for conducting safety inspections?				
	9. Is the alternate QC M working on site in any other capacity at this time?				
3. NAMES & QUALIFICATIONS	10. Is there an approved resume of the QC Manager on file with the QC Plan?				
	11. Is there a resume of Alternate QCM?				
	12. Is acceptance of the above match qualifications & past experience / specifications?				
	13. Is the QCM aware of the requirement to be on site at all times when work / production is in progress?				
4. DUTIES & RESPONSIBILITIES	14. Are the duties, responsibilities and authority of the QC Manager in writing?				
	15. Is the Alternate QC Manager / other QC Specialists responsibilities in writing?				
	16. Is the QC organization as written in the specifications to be run by Prime Contractor and QCM works for prime?				
	17. Are the only duties/responsibilities of the QCM managing and implementing the QC program?				
	18. Does the QCM understand he is responsible for managing/coordinating 3-Phase control & documentation performed by any QC Specialists, testing Laboratory personnel, and other inspection and testing personnel required by this contract?				
5. OUTSIDE ORGANIZATIONS	19. Is there a list of Outside Organizations: design agents, consultants, subcontractors that will perform work or services for the prime?				
	20. Does this list indicate the general scope of the work and services to be performed?				
6. APPOINTMENT LETTER (S)	21. Is there an appointment letter, signed by an officer of the firm, appointing the QC M and outlining his/her duties, responsibilities and authority?				
	22. Does this letter include the authority to immediately stop any segment of work not complying with plan/spec, and the removal and replacement of any defective work?				
	23. Does this letter provide the authority for the QCM to act as the agent of the contractor?				
	24. Does the CQM certify material/equipment delivered/installed on and off site comply with plan/spec? Reports any deficiencies and what remedial action was taken?				
	25. Does he supervise/coordinate inspection/tests made by other members of the QC Organization?				
	26. Does the QCM insure the QC Staff is adequate to meet its responsibilities?				
	27. Is the QCM responsible for all testing required in the contract, and that the results are reported correctly?				
	28. Does the QCM have the authority to remove any individual from the site who fails to perform work in skillful, safe, and workmanlike manner or whose work do not comply with plans/specs?				
	29. Does the letter state QCM has no authority to deviate from plans/specs without prior approval, in writing, from the Contracting Officer or designated representative?				
	30. Does the letter state the QC Organization will be adequately staffed with qualified personnel to perform all the detailed inspections and testing specified in plans/specs?				

	31. Is a copy of the approved QC Plan in the job site file complete with up to date approved, revisions/ filled in log of submittals?				
	32. Is it also written that As-Built Drawings will be kept current by the QCM showing all deviations made from the contract drawings on a daily/weekly basis?				

CATEGORY	Checklist Items	Yes	No	N/A	Date Corrected
7. SUBMITTAL PROCEDURES	33. Were procedures provided for reviewing all shop drawings, samples, certificates, or other submittals for contract compliance, including name of person authorized to sign?				
	34. Were procedures for processing submittals discussed at the Pre-con meeting, and responsibility for approving each submittal included in plan?				
	35. Does the Submittal Register shown in the QC Plan show, all required submittals?				
8. TESTING LAB INFORMATION	36. Is there a list of all the testing laboratories to be employed by the Prime Contractor, a description of their services, and included in the submittal procedures?				
	37. Is there any indication what accreditation authority certified these testing laboratories?				
9. TESTING PLAN AND LOG	38. Is the standard Testing Plan and Log used in this QC Plan?				
	39. Does this plan show all required tests, referenced by specification section, the frequency, and person responsible for each tests?				
	40. Is the testing plan maintained by showing status of all tests required by the contract?				
10. REWORK	41. Is there written internal procedures to document and track Rework Items?				
	42. Is the standard "Rework Items List" used in QC Plan, by the contractor?				
	43. Does the contractor provide procedures to complete and sign off any deficiencies?				
	44. Does the contractor maintain at the job site up-to-date Non-Compliance Check-Off list log of deficiencies on all non-conforming work?				
11. DOCUMENTATION PROCEDURES	45. Is the Contractor using the Navy standard "Contractor Quality Control Report" forms?				
	46. Is the Contractor using the Navy standard "Contractor Production Report" forms?				
	47. Is the Contractor correctly filled out these forms and turning them in on time?				
12. 3-PHASES OF CONTROL: LIST OF DEFINABLE FEATURES OF WORK	48. Has the Contractor provided his lists of Definable Features of Work (DFOW)?				
	49. Has this list of DFOW's been cross-referenced into the production activity Schedule used by the Superintendent?				
	50. Have all Critical Path activities or Network Analysis Activities identified as DFOWs been added to this list?				
13. PREPARATORY PHASE CHECKLIST	51. Is the QC Manager using the standard "Preparatory Phase Checklist" form provided, when addressing each DFOW ?				
	52. Is the QCM actually holding Preparatory Phase Checklist meetings (planning) for each DFOW and filling out this form correctly?				
	53. Does the QCM maintain at the Job site an active file of preparatory phase meetings conducted for each DFOW, in accordance to the schedule?				
14. INITIAL PHASE CHECKLIST	54. Is the QCM using the standard "Initial Phase Checklist" forms provided, when addressing each DFOW?				
	55. Is the QCM actually holding Initial Phase Checklist meetings (workmanship) for each DFOW and filling out this form correctly?				
	56. Does the QCM maintain at the job site an active file of all initial phase meetings conducted for each DFOW, in accordance to the schedule?				
15. PERSONNEL MATRIX	57. Does the QC Plan require this Personnel Matrix?				
	58. Does this Matrix do a good job of provide/assigning QC responsibilities?				
	59. Does the matrix list by name, i.e., testing, inspections, and QC Specialists?				
16. COMPLETION INSPECTION PROCEDURES	60. Are the "Completion Inspection" Procedures outlined in the QC Plan?				
	61. Is the QC Manager responsible for the Punch-out Inspection process?				
	62. Does the contractor requests Government to attend the Pre-Final Inspection?				
	63. Does the Contractor requests customer to attend the Final Inspection?				

SCORING: Total applicable for each category = X (where X includes responses for category of "Yes" and "No" but does not include N/A)
Total with "Yes" responses for category = Y

SCORE FOR EACH CATEGORY:

1. CONTRACT QC SPECIFICATION: ____
2. QC ORGANIZATION: ____
3. NAMES & QUALIFICATIONS: ____

SCORE RATE EQUATION = Y/X

6. APPOINT LETTER(S) ____
7. SUBMITTAL PROCEDURES: ____
8. TESTING LAB INFORMATION: ____

12. 3-PHASE CONTROL: DFOW ____
13. PREPARATORY CHECKLIST: ____
14. INITIAL PHASE CHECKLIST: ____

4. DUTIES & RESPONSIBILITIES: _____
5. OUTSIDE ORGANIZATIONS: _____

9. TESTING PLAN & LOG: _____
10. REWORK PROCEDURES _____
11. DOCUMENT PROCEDURES _____

15. PERSONNEL MATRIX: _____
16. COMPLETION INSPECT PROCEDURES: _____

OVERALL RATING = LOWEST RATING FOR ANY CATEGORY: _____
OVERALL COMPOSITE SCORE = (ALL "YES" answers / All applicable answers (%): _____

ENCLOSURE (2) ATTACHMENT (d) - CLOSE-OUT CHECK LIST

The following items are most likely to be required by every set of contract documents. However only a review of the contract documents can determine actual requirements.

- Acceptance letter to contractor
- Acceptance letter to activity
- Warranties forwarded to Public Works
- Spare parts received and acknowledged
- Training completed
- Keys provided to user/Public Works
 - Return of construction cores acknowledged
- Items Required by Specification Section 01770, Closeout Procedures
 - O&M Manuals received and forwarded
 - As-built drawings received and forwarded
 - Record of materials received and forwarded
 - Equipment/Product warranty tags
 - Testing and Balancing of Mechanical systems complete and all reports received and forwarded.
- Items Required by Specification Section 01450, Quality Control
 - Completion Certification
- Roof warranty card received and mounted as required
- Contractor Evaluation completed and forwarded
- A/E evaluation completed and forwarded
- Contract Completion Report forwarded to CI5

ENCL (3) ROICC SCORE CARD

Visit Dates: _____

Team Leader: _____

Health Assessment Codes

- - Green - Area of Excellence *
- - Yellow - Focus Area Working Well
- - Red - Major Shortfall. Immediate Attention Needed *

- See attached report for specific comments

Focus Area

ROICC
Assessment

Health
Assessment

	Green	Yellow	Red		Green	Yellow	Red
Office Management and Controls							
Payment to Contractors							
Effectiveness of QA Staff							
Safety and CQC Enforcement							
Effectiveness of in-house Training Programs							
Project Close-out and Warranty Enforcement							
Constructability Review Process							
TABS/ACATS Management and Enforcement							
Modification Management							
Office Staffing							
ADP Support and Equipment							
Common Business Practices Implementation							
Design/Construction Support Issues							

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Office Management and Controls

Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Payments to Contractors

Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Effectiveness of QA Staff

Health Assessment Codes:

☐
Green☐
Yellow☐
Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ **Recommendation Made By:** _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTNCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Safety and QC Enforcement

Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Effectiveness of In-House
Training Programs

Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Project Closeout and Warranty
Enforcement

Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Constructability Review Process

Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: TABS/ACTS Management and
Enforcement

Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Modification Management

Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Office Staffing

Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: ADP Support and Other Office
Equipment

Health Assessment Codes:

☐
Green☐
Yellow☐
Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Common Business Practices

Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

**ATLANTIC DIVISION, NAVAL FACILITIES ENGINEERING COMMAND
CONSTRUCTION ASSISTANCE VISITS (CAV)**

Office Inspected: _____ Date: _____

Focus Area: Design/Construction Support Issues Health Assessment Codes:

☐

Green

☐

Yellow

☐

Red

OBSERVATION:

RECOMMENDATION/(FOLLOW-UP ACTIONS):

Responsible for Action: _____ Recommendation Made By: _____

Action Taken:

“Quality Performance.....Quality Results”

CONSTRUCTION ASSISTANCE VISITS (CAV) WORKING CHECKLIST



Office Management and Controls

1. Does the ROICC and SGE conduct project status reviews with the ARO(E)ICC's at least on a monthly basis?
2. Is there a management information system in-place to track:
 - Design Review Time
 - Modification of Contract Processing Time
 - Cost Growth Due to Change Orders
 - Action Correspondence/RFIs
 - TABS/ACATS Submittals and Deficiencies noted during TABS QA verification inspections
 - Budget Expenditures
 - WIP
3. Does the office have a systematic and routine way to give and receive performance feedback from customers? For example, project tours, briefings, reports, etc.?
4. Is the office's QMP up to date and being followed? (Get copy of QMP).

[illegible]

Payment to Contractors

1. Does the office have a published payment and retention policy? If so, is it being followed? What are the average times for processing invoices?
2. Are Construction Representatives making sure material and labor on the invoices are correct and that only approved materials are being considered for payment?

CONSTRUCTION ASSISTANCE VISITS (CAV) WORKING CHECKLIST



Effectiveness of QA Staff

1. Do all the Con Reps have the minimum QA training specified in P-68 and P-445?
2. Does the ROICC have a multi-disciplined QA staff, I.e. general, electrical, and mechanical con reps? If not, then how are these shortfalls being covered?
3. Is there an office policy for processing DRIs and CRRs?
4. Are DRIs/CRRs accurate, complete, and document daily site conditions? (Spot check 3-4 contracts).
5. Is the office getting maximum use out of CASU inspectors, Title II Services, CQC program, and QAP visits by the designers of record?
6. Are QAP plans being developed per NAVFAC P-445?

[illegible]

Safety and CQC Enforcement

1. Team will evaluate the office's construction safety program using Attachments (a) and (b) of enclosure (2).
2. Team will visit at least one project with CQC provisions and evaluate the CQC staff using attachment (c).
3. Is the CQC program being supported by the ROICC, SGE, and Supervisory Construction Representative?
4. Have all the CQC Reps attended the COE's Construction Quality Management for Contractors Course? If not, why?

Effectiveness of In-House Training Programs

1. Does the office have an in-house program for its military/civilian AROICCs and Con Reps? If so, are accurate training records being kept? If not, then why doesn't the office have an in-house training program?

CONSTRUCTION ASSISTANCE VISITS (CAV) WORKING CHECKLIST



Project Closeout and Warranty Enforcement

1. Project closeout:

- A. Does the office have a current written policy for closing out contracts in a standard fashion?
- B. Are projects being closed-out per Atlantic Division NAVFACENGCOMINST 4340.4?
- C. Is there a system to ensure all required items have been received/completed prior to certification of the final payment: (See attachment (d) for a suggested listing of normally required items)?
- D. Have completed contracts been updated in the R-26 report and have they been shifted to section II on the R-26 within six months of BOD?

2. Is Public Works satisfied with the way the ROICC is turning over facilities?

3. Warranty related issues:

- A. Does the office have a policy on handling warranty related issues?
- B. Is Public Works satisfied with the ROICC performance on warranty issues?

YES	NO	N/A

Constructability Review Process

1. Does the office have a written policy and checklist for doing design reviews? (**Get a copy of design review checklist**).

2. Are realistic construction performance periods being established and included with the design comments?

3. Are in-house designers and A&Es addressing and incorporating into the final design documents the ROICC's design review comments? Are the annotated ROICC design review comments included with the final design documents?

YES	NO	N/A

CONSTRUCTION ASSISTANCE VISITS (CAV) WORKING CHECKLIST



TABS/ACATS Management and Enforcement

1. Does senior leadership within the office support the TABS/ACATS program?
2. Do ARO(E)ICCs and Con Reps have a good working knowledge of the TABS/ACATS process and are conscientiously enforcing specified provisions?
3. How many contracts are being accepted for beneficial occupancy without TABS/ACATS being finished?
4. What are some ideas for improving the process?

Modification Management

1. Team will look at 3-4 contracts to make sure change orders are being processed, using enclosure (3), IAW Atlantic Division, NAVFACENGCOMINST 4330.18B. Specifically, looking at funding flow to make sure enough systems are in-place to prevent the ROICC from having to do ratification of unauthorized commitments.
2. Are COAR Authority and AROICC/AREICC Appointment letters on file?
3. Are Change Order and UDC Logs being maintained?

Office Staffing

1. Is office staffed to a level that allows them to carry out their workload? If not, what are the staffing shortfalls?

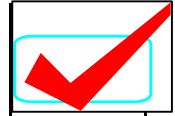
ADP Support and Other Office Equipment

1. Does the office have adequate ADP hardware and software?
2. How effective and timely is HQ's ADP support?
3. Does the office have enough vehicles?
4. What additional equipment is needed to perform your mission?

YES	NO	N/A

YES	NO	N/A

CONSTRUCTION ASSISTANCE VISITS (CAV) WORKING CHECKLIST



Common Business Practices

1. Is the office implementing the five-part meeting format as Common Business Practice Initiative? (Regular meetings with Contractor to discuss the Project Schedule (2 to 4 week look-ahead), QA/QC & Safety, RFIs, Submittals and Modifications).

Design/Construction Support Issues

1. Are there any areas where we are not providing prime time support?
2. What can we do better to support your office?
3. What HQ requirements are detracting you from doing your mission?

YES	NO	N/A

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022
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ATLANTIC DIVISION NAVFACENGCOM INSTRUCTION 5420.8A

From: Commander, Atlantic Division, Naval Facilities Engineering Command

Subj: PERFORMANCE MEASUREMENT AND ASSISTANCE PROGRAM (PMAP)

Ref: (a) Navy Acquisition Procedures Supplement (NAPS) 5201.691-1
(b) NAVFAC P-68, Contracting Manual dtd Nov 1998
(c) NAVFAC Performance Measurement and Assistance Program Handbook dtd
Sept 1998

1. Purpose. To establish, in accordance with references (a) through (c) authority, standards and procedures to be used while conducting PMAP visits of subordinate contracting offices as prescribed by reference (a) and paragraph 1.691-2 of reference (b). Revision indicators will not be annotated in the margin, since major changes have been made to this instruction. It is recommended that the instruction be read in its entirety.

2. Cancellation. LANTNAVFACENGCOMINST 5420.8

3. Scope. This instruction applies to all component activities of the ATLANTIC DIVISION.

4. Background. As a result of federally enacted statutes and a 1996 directive from OASN (RD&A), NAVFACENGCOM has restructured its acquisition oversight vehicle (Procurement Management Reviews) and developed a new program entitled the Performance Measurement and Assistance Program (PMAP). The restructured acquisition oversight process moves away from the primary focus of regulatory/statutory compliance reviews. It is now a multi-faceted program utilizing self-assessment metrics to measure the quality of contracting operations and determine customer satisfaction. The program is comprised of five different perspectives that make up what is called a "Balanced Scorecard". The five perspectives are entitled:

Customer (How do our customers see us?)
Associate (How do our employees see us?)
Learning and Growth (Can we continue to improve and create value?)
Internal Business (What must we excel at?)
Financial (How do we look to the tax payers?)

5. This program is intended to encourage and empower the acquisition team to make continuous improvements in their processes. It also provides a mechanism for organizations to share best practices. This guide is issued as a general instruction and is intended to provide basic consistency and continuity in program approach and reporting requirements.

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6. The focus of the program is to provide an overall assessment of an activity's acquisition processes while encouraging risk management and innovation in the contracting arena. PMAP objectives are to:

Assist the activity in understanding and carrying out an effective acquisition program.

Determine the effectiveness of the activity's acquisition processes.

Recommend ways and means for the activity to improve effectiveness and responsiveness to the acquisition process while reducing costs and capitalizing on commercial business success.

Evaluate existing processes contained within the activity's Quality Management Plan (QMP) in order to assist the activity in avoiding any potential statutory/regulatory problems.

Identify opportunities for general improvements in the activity's QMP.

Identify innovative procedures, advantageous strategies and ensure dissemination of best practices NAVFACENGCOM-wide.

7. Policy. The Commander of the ATLANTIC DIVISION and the Commanding Officer of each component of the ATLANTIC DIVISION, through PMAPs, carry out their oversight responsibilities, and ensure compliance with policies. PMAP teams will consist of a team leader who is a senior civilian acquisition contracting official from the EFD/EFA. Any component team may be augmented by personnel from other components of the ATLANTIC DIVISION. All PMAP reports will be signed out at a level no lower than Vice Commander for LANT OPS and the Executive Officer for other components. When conducting PMAPs, the policy is to:

- a. Avoid disruption of management and operational routines.
- b. Recognize and respect the prerogatives and uniqueness of each activity while encouraging consistency throughout the NAVFACENGCOM acquisition.
- c. Help identify process impediments and propose reasonable alternatives for improvements.
- d. Counsel and assist by providing information, feedback and guidance relative to risk taking and innovations taken by the activity.

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e. Conduct on-site training, when practical, to improve contracting and acquisition processes.

8. Action.

a. The Head of the Contracts Office of each component of the ATLANTIC DIVISION is responsible for ensuring that component PMAPs are conducted at intervals consistent with reference (a) by development of long-range schedules.

b. The designated PMAP team leader shall ensure that the PMAP team is identified and that the field office receives 60-calendar days advance notice to include whatever advance data is required of the field office.

c. The head of the field contracting office shall ensure that requests for information are provided to the PMAP team leader upon arrival of the on-site visit.

d. The PMAP team will conduct an assessment of the field office using the approach indicated in reference (c).

e. The PMAP team leader will debrief field office executive management before leaving the site.

f. The PMAP team leader will ensure that a formal report is signed out within 20 calendar days of completing the review.



B. W. KRAAI, JR.
VICE COMMANDER

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Construction Assistance Visit (CAV) Team Assignment

Program

ROICC Office: _____

Visit Date(s): _____

Team Leader: _____

Time and Location of In-Brief: _____

Focus Areas

Assign Team Member

Office Management and Controls

Payment to Contractors

Effectiveness of QA Staff

Safety and QC Enforcement

Effectiveness of In-House Training Programs

Project Close-Out and Warranty Enforcement

Constructability Review Process

TABS/ACTS Management and Enforcement

Modification Management

Office Staffing

ADP Support and Other Office Equipment

Common Business Practices

Design/Construction Support Issues

Field Office Visit Team Assignment

<u>App</u>	<u>Policies and Instructions</u>	
4330.17E	90-06-19	Schedule of Prices on Construction Contracts
4330.18B	92-11-20	Contract Modifications
4330.51 CH-1	88-09-30 89-11-27	Testing, Adjusting, Balancing, and Start-Up (TABS)/Automatic Controls Acceptance Tests (ACATS) on Construction Contracts
4340.4	94-04-29	Construction Transfer and Warranty
4341.2F CH-1	85-12-12 86-04-28	Inventory and Control of Government-Furnished Property (GFP) and Contractor-Salvaged Property on Construction Contracts
4355.3	94-05-31	Quality Control (CQC) on Construction Contracts
11013.15A	92-05-07	Operation and Maintenance Support Information (OMSI) for Facilities Projects